

# PAYROLL PROCEDURES MANUAL

## SECTION C - POSITION CONTROL INDEX

(Revised 08/07)

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### SUBJECT: OVERVIEW

**C 001**

#### REFERENCES

(Revised 03/05)

SAM 8531, 8533

#### INTRODUCTION

(Revised 03/05)

Position Control information is maintained within the Payroll System. Position Control Unit maintains a position file recording all approved established positions and a payroll header file recording all changes to payroll headers. The position file is updated twice weekly and the header file is updated before each daily payroll cycle.

#### REPORTS

(Revised 03/95)

**C 002**

Based on the above files, numerous monthly and annual reports are prepared for agency/campus use as well as for Department of Finance (DOF) and the Legislature. Other reports related to position expenditures may be prepared as requested by any agency/campus for specific needs.

#### POSITIONS

(Revised 03/05)

**C 003**

All established positions must have DOF approval (or delegated approval) before appointment of an employee to a position. Agencies SHOULD NOT submit a PAR that authorizes SCO to make an employee salary payment from an unapproved position.

PPSD does not verify that an approved established position is available prior to processing personnel documents. This is the responsibility of each agency/campus.

#### CHANGE IN ESTABLISHED POSITIONS

(Revised 03/05)

**C 004**

Change in Established Positions, form STD. 607, (available on DGS web site or from DGS Stores), is used to establish positions. See PPM C 300 for completing a form STD. 607.

Route all copies directly to DOF, Budget Division, if their approval is required. If DOF has delegated approval authority, the form STD. 607 should be submitted directly to Payroll Operations.

Submit copies to DOF together with a copy of Request for Certification, form STD. 625, when required.

**NOTE:** DOF should not change the time base (increase or decrease) on the STD. 607. If there is to be a change in time base in order to gain approval return the document to the agency. The agency will make all the necessary changes and will resubmit the document to DOF for approval.

Do not submit an advance copy of form STD. 607 to Payroll Operations. No action will be taken until the document is approved by DOF or by an agency representative to whom authority is delegated.

To ensure the processing of form STD. 607's in time to be reflected on the annual budget reports, the documents must be received IN PAYROLL OPERATIONS no later than June 15 of the closing fiscal year. If DOF approval is required, the documents must be submitted to them PRIOR to June 15 in order to be forwarded and received in PPSD no later than June 15.

The established position file is maintained for the current plus one prior fiscal year only. Agencies SHOULD NOT submit form STD.607's to temporary encumber /disencumber a position or correct documents that affect fiscal years previous to the current plus one prior fiscal year criteria. If submitted, they will be returned.

## **AGENCY CERTIFICATION FOR CONTINUED PAYMENT FROM ESTABLISHED POSITIONS**

**C 005**

(Revised 03/95)

Each department head must certify to SCO, PPSD that existing established positions in SCO files reflect the approved program and may be used as the basis for preparation of payrolls. The certification must reach SCO before the cutoff date for the September pay period. DOF grants blanket approval to the State Controller to use existing established positions in the files only for July and August pay periods.

### **SUBJECT: AGENCY CODES**

## **INTRODUCTION**

**C 100**

(Revised 03/05)

A payroll agency code is a three-digit code that identifies the department and the fund from which salaries are paid. An agency/campus can have more than one code as long as they also have more than one fund. Agency name change does not normally require a new agency code.

A new agency code should be requested when establishing the following:

- New agency
- New department of existing agency
- 10/12 agencies, except CSU
- Special payroll procedures (e.g., biweekly payroll)

New agency code numbers will not be given over the telephone. A written request to PPSD, SACS Unit, is required for anything that affects agency codes such as:

- New codes
- Abolishment of existing code
- Fund change
- Name change

Mail request to:

State Controller's Office  
Personnel/Payroll Operations Bureau  
SACS Unit  
P.O. Box 942850  
Sacramento, CA 94250-5878

Agency/campus will receive written notice from PPSD when the agency code is assigned. |

### **COMPLETION OF REQUEST**

**C 101**

(Revised 08/07)

The following information must be included in the written request:

#### New agency code

- Name of agency; state if it will be under an existing department
- Fund name
- Chapter number or other legislative authorization (include a copy of the budget act, assembly/senate bill, etc.)
- California Fiscal Information System (CFIS) code (except CSU)
- Effective date
- State if it is a shift agency or not
- List any out-of-state reporting units
- Number of employees
- State the employee retirement codes to be used |
- Appointing authority
- State if it is a 10/12 agency (except CSU)
- Contact person's name and telephone number for both the departmental personnel office and accounting offices.

#### Abolished agency

- Name of agency
- Agency code
- Effective date of abolishment

#### Fund change

- Name of agency
- Agency code
- Old fund name
- New fund name
- Chapter number or other legislative authorization
- Effective date

Agency name change

- Old agency name
- New agency name
- Agency code
- Chapter number or other legislative authorization
- Effective date

**SUBJECT: PAYROLL HEADERS**

**DESCRIPTION**  
(Revised 03/05)

**C 200**

A Payroll Header contains the following:

- Fiscal Year
- Payroll Agency Code
- Reporting Unit Code
- Budget Function Code (CSU Only)
- Uniform Account Code
- Budgetary Description

This information is printed on warrant registers, attendance reports, and other payroll reports and is used for fund/appropriation transfers of payroll amounts. A payroll HEADER is ACTIVE for only one fiscal year. A FORM PR421 OR A NEW HEADER, STD. 407, (available on DGS web site or from DGS Stores). MUST BE SUBMITTED EACH FISCAL YEAR.

The payroll HEADER FILE contains the above information for the current and two prior fiscal years, as well as the establishment/abolishment effective dates and the budget function codes, where applicable.

Payments will suspend for any pay period:

- Prior to the effective date the Payroll Header is established.
- After the effective date the Payroll Header is abolished or deleted.

Payments will automatically release when headers are established.

**ASSIGNMENT OF CODES**  
(Revised 06/97)

**C 201**

PPSD, SACS Unit, assigns the agency code; Division of Accounting assigns the Uniform Account Code; the agency assigns the Reporting Unit, Budget Function Code, if used, and the Budgetary Description. Budgetary/funding information must reflect information provided by legislation, such as the budget act. Questions concerning this information should be directed to the Division of Accounting.

**SPECIAL HANDLING FOR HEADERS**  
(Revised 03/05)

**C 202**

A list of Payroll Headers can be produced upon written request from an agency/campus. The request, directed to Payroll Operations, Position Control Unit, must include agency code(s) and fiscal year(s) needed. Send request to:

State Controller's Office  
Personnel/Payroll Operations Bureau  
Position Control Unit  
P.O. Box 942850  
Sacramento, CA 94250-5878

**NOTE:** Whenever a department adds or changes out-of-state reporting units, during the year on a form PR407, contact the supervisor of Position Control Unit, Payroll Operations to ensure correct state tax withholding is initiated and/or maintained. Please refer to PPM Section H 112-114 for more information on taxation of employees working and residing in a state other than California.

Mass reorganizations of positions/employees must be coordinated with PPSD. Advance notice of at least one month prior to the effective date is necessary if position roster/employment history listings are required by an agency/campus. Contact the supervisor of the Position Control Unit, Payroll Operations.

## **CHANGES TO PAYROLL HEADERS**

**C 203**

(Revised 03/05)

After the annual header update is completed, all header changes must be submitted on "PAYROLL HEADER CHANGE", form STD. 407 (available on DGS web site or from DGS Stores)

Form STD. 407 (Rev. 4/97) is used for the following types of header transactions:

**Establish** - to establish a new payroll header or a payroll header that was deleted in error. Effective date is the beginning of the pay period.

**Change** - to change the budget function code or payroll header description on an established payroll header. Do not use the "Change" transaction to change the agency and/or reporting unit. Delete the established header and establish a new header. Only SCO Accounting makes uniform account code changes. Effective date is the beginning of the pay period.

Header changes for effective date, agency code, or reporting unit requires two forms STD. 407 (Rev. 4/97), one form to delete the existing header and one to establish the correct header information. Submit as a package for processing before the 10th of the month.

**Abolish** - to abolish a payroll header (Funds were/will be paid prior to the abolishment Date). Abolishment date is effective at the close of the pay period for the date shown on the STD. 407 (Rev. 4/97). Complete all payroll transactions before abolishing the payroll header. An abolishment retains a record of the header up to the close of the pay period for the abolishment effective date shown on STD. 407 (Rev. 4/97).

**Re-establish Abolished Header** - to re-establish a header which was previously abolished within the SAME fiscal year. Re-establish date is effective at the beginning of the pay period for the date shown on the STD. 407 (Rev. 4/97).

**EXAMPLE:** To re-establish a header abolished with the 10/04 pay period, the effective pay period would be 11/04 or later.

**Delete** - to delete a payroll header established in error. Header will be completely removed from the Payroll Header File. Delete a header when NO FUNDS are paid or funds that were paid have been transferred out of the erroneous header (agency reporting unit).

**NOTE: Abolishing a header and deleting a header are not the same. Abolish a header when funds were/will be paid prior to the abolishment date. A delete completely removes the header from the Payroll Header file.**

**COMPLETION OF FORM STD. 407 (Rev. 4/97)**  
(Revised 03/05)

**C 204**

ALL FORMS STD. 407 (Rev. 4/97) ARE TO BE TYPED OR CLEARLY PRINTED.  
Complete as follows:

Item

- 1 Ending Fiscal Year (CCYY) - enter the fiscal year which corresponds with the effective/abolishment date (i.e., if the effective date is 09/04, the fiscal year would be 2005).
- 2 Payroll Agency Code
- 3 Reporting Unit Code
- 4 Budget Function Code - Complete if applicable, (CSU only)
- 5 Effective/Abolishment Date (CCYMM) - enter the pay period month and year the header is to be effective per the transaction type (e.g.,200407). See PPM C 203.
- 6 Transaction Type - place an "X" in the appropriate box for the requested type of transaction.
- 7 Type Change/Line Number - leave blank. This item is to be completed by Payroll Operations.

**PAYROLL HEADER DESCRIPTION** - Budgetary descriptions are limited to seven lines with a **maximum of 30 characters** (including spaces and punctuation) per line. Description lines should include the following:

- Name of the agency
- Institution name, if applicable
- Fund name
- Budget item or appropriation data
- Program or category
- Additional information may be added (e.g.; unit, section, etc.)

See sample below:

Department of Corrections	(Mandatory)
Folsom State Prison	(Mandatory)
Administration	(Optional)
General Fund	(Mandatory)
Item 267 Budget Act of 1994	(Mandatory)

NOTE: Line 1 must show the agency name. DO NOT SKIP LINES.

**REMARKS** - to be completed for a CHANGE transaction or for special processing instructions. List all changes being made or other instructions such as stating "Out of State Header" to ensure proper processing.

EXAMPLE:

<u>Current Header Description</u> (on file)	<u>Header Description</u> (on STD. 407)
1. Department of California	1. Department of California
2. Administration	2. Administration
3. San Francisco Branch	3. Sacramento Branch
4. General Fund	4. General Fund
5. Item 9999-999-9999 B/A 1997	5. Item 9999-999-9999 B/A 1997
6.	6.
7.	7.

Remarks would read: Line 3 changing to read Sacramento Branch

<u>Current Header Description</u> (on file)	<u>Header Description</u> (on STD. 407)
1. Department of California	1. Department of California
2. Administration	2. Administration
3. San Francisco Branch	3. Executive Office
4. General Fund	4. Sacramento Branch
5. Item 9999-999-9999 B/A 1997	5. General Fund
6.	6. Item 9999-999-9999 B/A 1997
7.	7.

Remarks would read: Adding information at Line 3 and changing Lines 4 through 6.

Authorized Signature/Date/Telephone Number - must be completed.

**HEADER CANCELLATION**

**C 205**

(Revised 03/05)

Abolishing a header and deleting a header are not the same.

Abolishing a header only cancels the header from the pay period following the effective date shown on STD. 407 (Rev. 4/97), retaining a record of the header up through the close of the pay period for the abolishment effective date. Abolish a header if funds were/will pay prior to the abolishment date.

Deleting a header cancels the entire header and completely removes the header from the Payroll Header File. Delete a header when it was established in error and NO FUNDS are paid or funds that were paid are transferred out of the erroneous header (agency/reporting unit).

To Abolish or Delete a header, complete items 1-6 on Identification side and line 1 only on Description side of form STD. 407 (Rev. 4/97).

NOTE: In remarks section of form STD. 407 (Rev. 4/97) indicate "This Is To Abolish/Delete Original form STD. 407". Abolishment's are effective end of pay period per the effective date. Re-establishments are effective the beginning of the pay period per the effective date.

**ANNUAL PROCESS HEADER PROCEDURES**

**C 206**

(Revised 03/05)

Each May, Payroll Operations sends out an annual update of existing Payroll Headers, "Payroll Header Report", form PR 421. This report, a listing of Payroll Headers for the current fiscal year, is to assist agencies/campuses in the establishment of headers for the new fiscal year.

**NOTE: Any header established after the "Payroll Header Report" forms PR421 are generated, will require a new form STD. 407 (Rev. 4/97) to reestablish for the new fiscal year.**

The report is printed on three-part paper. The original and one copy are sent to the agency/campus, while the third copy is retained in Payroll Operations. After the report is updated, the original report is returned to Payroll Operations by the date specified in the instructional letter which accompanied the forms PR 421 (typically May 25 is the due date). The agency/campus will retain the updated second copy of the PR 421.

**NOTE: Payments for the new fiscal year will suspend if the PR 421 is not returned by the stated deadline.**

If a department is having a mass reorganization of positions/employees and the information is not available in time to complete and return the form PR 421 by the deadline, contact the supervisor, Position Control Unit.

The form PR 421 will only establish a new fiscal year Payroll Header File. It will not automatically create a transfer of positions or employees, nor will it update mailing addresses. Certified change documents, form STD. 607, and PAR/PPT must be used if such changes are needed. See Section A for instructions to update mailing address.

**ANNUAL PROCESS - COMPLETION OF FORM PR 421**  
(Revised 08/07)

**C 207**

Annual Form PR421 Completion Instructions:

- On the right side of each Form PR421, under the heading "CURRENT HEADER DESCRIPTION," the prior fiscal year description will be printed with the Item Line showing the new Budget Act Year Information. The left side under the Heading "CHANGES" will be blank. This is where you will make any changes or Deletions to ONLY the existing Payroll Headers.
- Complete the information under "New Header Description" ONLY if description is changing (budget year changes are done automatically, do not rewrite). Do not rewrite description if there is no change.
- When deleting the entire Payroll Header, you must draw a diagonal line through the "CURRENT HEADER DESCRIPTION".
- If you are adding a new Payroll Header, DO NOT utilize Form PR421. New Payroll Headers can only be added via STD. Forms 407 – Payroll Header Change (see PPM C204 for STD Form 407 completion instructions).
- The preprinted data on Forms PR421 DO NOT reflect new or changes in the current fiscal year Payroll Headers processed after the close of the April business month. If Payroll Headers, which will automatically terminate June 30<sup>th</sup> each year, should be re-established for the upcoming fiscal year and are not on the Forms PR421, you must submit STD. Forms 407 (see PPM C204 for STD. Form 407 completion instructions).
- Entries on Forms PR421 must be typed or clearly printed, as they are "key entry" documents.

- Description lines cannot exceed 30 characters per line (including spaces).
- To establish conformance for all Payroll Headers, the last three lines of the Payroll Header description must show Funding Source, Item Number (when Applicable) and Program Number (when applicable).
- When changing the reporting unit, the Payroll Header must be deleted on Form PR421 and a new Payroll Header must be established via Std. Form 407 (see PPM C204 for Std. Form 407 completions instructions).
- If the agency/reporting unit is for **OUT-OF-STATE**, a notation must be made in the blank area under the agency/reporting unit on the STD. Form 407 or Form PR421.
- Ensure that the Authorized Signature line on the first Form PR421 for each different agency code is signed and the contact person and phone number are completed on each Form PR421.
- All Original Forms PR421 must be returned even if the agency is being abolished or no changes are made. Please keep copies for your records.

All Forms PR421 **MUST BE RETURNED BY THE “END OF MAY” DEADLINE** set forth in the cover letter sent to all Agencies/Campuses in the Uniform State Payroll System during the fiscal year end process. They must be returned to:

State Controller's Office  
 Personnel/Payroll Services Division  
 P.O. Box 942850  
 Sacramento, CA 94250-5878  
 Attn: Position Control Unit

Funding Source information must not be changed. These types of changes require the assignment of new agency codes by Personnel/Payroll Services Division. To assign new agency codes, please see PPM C100. Questions regarding new agency codes should be directed to the SACS Unit (916) 322-3932.

For questions regarding Payroll Header description lines (last three lines only), either preprinted or to be entered, please contact Division of Accounting and Reporting at (916) 322-7973.

Should you have any question regarding the completion of Forms PR421, please contact Position Control at (916) 323-4928.

**ANNUAL PROCESS - TO ABOLISH A REPORTING UNIT OR ENTIRE AGENCY** **C 208**  
 (Revised 03/05)

Place a line through the information shown in the items identified as "AGY", "REPT UNIT", "B.F.", "EFF. DATE", and mark a diagonal line through the preprinted description lines under "CURRENT HEADER DESCRIPTION."

If the entire agency is being abolished, a letter stating name of agency, agency codes, and effective date of abolishment, signed by an authorized person, must be attached to the PR 421.

**ANNUAL PROCESS - TO CHANGE THE HEADER** **C 209**  
 (Revised 03/05)

To change a description line, enter the new information in the corresponding line number under "CHANGES" (see sample below).

<u>New Header Description</u>	<u>Current Header Description</u>
1.	1. Department of California
2.	2. Administration
3. San Francisco Branch	3. Sacramento Branch
4.	4. General Fund
5.	5. Item 9999-999-9999 B/A 1997
6.	6.
7.	7.

Adding or deleting lines may change the sequencing number of the description lines. When a line is deleted, all subsequent lines must be brought up. When a line is added, all subsequent lines must be moved down (see examples below).

Adding

<u>New Header Description</u>	<u>Current Header Description</u>
1.	1. Department of California
2.	2. Administration
3. Executive Office	3. Sacramento Branch
4. San Francisco Branch	4. General Fund
5. General Fund	5. Item 9999-999-9999 B/A 1997
6. Item 9999-999-9999 B/A 1997	6.
7.	7.

Deleting

<u>New Header Description</u>	<u>Current Header Description</u>
1.	1. Department of California
2.	2. Administration
3. San Francisco Branch	3. Decentralization
4. General Fund	4. Sacramento Branch
5. Item 9999-999-9999 B/A 1997	5. General Fund
6. Program A	6. Item 9999-999-9999 B/A 1997
7.	7. Program A

To CHANGE a reporting unit, delete header from the PR 421 by lining out "AGY", "REPT UNIT", "B.F.", "EFF DATE" and mark a diagonal line through the preprinted description and under "CURRENT HEADER DESCRIPTION". Then complete a STD. 407 (Rev. 4/97) for new reporting unit per instructions in PPM C 204.

**ANNUAL PROCESS - TO ADD A NEW HEADER**  
(Revised 03/05)

**C 210**

New headers or headers not listed on the preprinted form PR 421 must be submitted on a form STD. 407 (Rev. 4/97). (DO NOT add to blank spaces on form PR 421). Complete per instructions in PPM C 204

**SUBJECT: ESTABLISHED POSITIONS**

**REFERENCES**

(Revised 12/85)

SAM 6209

**INTRODUCTION**

(Revised 12/85)

An established position is a specific staff assignment defined and funded in the state budget. The unit of budgetary allotment for an established position is the "personnel-month" which is equivalent to one month's salary at full time.

**POSITION NUMBER**

(Revised 03/05)

C 301

A 13-digit number identifies established positions which consists of:

- Agency code
- Reporting unit code
- Class code
- Serial number

**AGENCY CODE**

(Revised 12/85)

C 302

Three digits identify:

- Fund from which salaries are payable
- Agency, institution or other major subdivision
- High risk PERS groups (e.g., PERS Safety Members).

**REPORTING UNIT**

(Revised 12/85)

C 303

Three digits identify:

- The appropriation or account within the agency fund group from which salaries are payable.

- May also identify the function, location, or attendance reporting station of positions and employees. Agencies/campuses assign Reporting Unit Codes to conform to the organizational structure.

Reporting unit codes control the arrangement of information on warrant registers, attendance reports, and other payroll reports. It identifies fund or appropriation transfers on reports, and assists in distribution of payrolls.

The same reporting unit code should not be used to identify different budgetary descriptions in two consecutive years. If possible, change the reporting unit code.

**CLASS CODE**

(Revised 03/05)

C 304

Four digits identify the class code:

**Class Type**

**Salary-Setting Authority**

Civil Service	DPA
Maritime Academy (Exempt)	DPA
Finance Exempt/Statutory	DPA
Judicial (Exempt & Statutory)	Judicial Council
California State University (Exempt)	CSU, Chancellor's Office (key deck/class code table use).

Salary-setting authorities assign these codes and publish them in pay scales.

**INTERCHANGEABLE CLASSES**

**C 305**

(Revised 03/05)

Interchangeable Classes have been approved by DOF for certain classes to promote the policy of recruiting employees at the entry level and later promoting those qualified to the journeyman level without further action. Form STD. 607 for interchangeable classes will show the class code and title of the primary class (identified by DOF). The established position file will reflect the primary class code and it will not change when the employee's class changes. See PPM C 318 for identification of interchangeable primary class codes.

To request establishment of a new interchangeable class, send a letter to DOF. They will indicate their approval on the letter and forward to Payroll Operations.

Use of interchangeable classes reduces the number of required position documents by permitting recruitment or promotion (per PAR/PPT) at any level of the position without submission of form STD. 607 to change the class code of the position.

Interchangeable positions are identified by serial numbers in the 700 and 800 series with the following exceptions:

1. Class code 8397 (California Highway Patrol), is NOT interchangeable, but can use serial numbers 700-899 because more than 699 employees are in one reporting unit.
2. Class code 8232 (Departments of Developmental Services and Mental Health) is always interchangeable for serial numbers 001-899.
3. Department of Motor Vehicles uses serial numbers 300-899 for interchangeable positions.

Classes included in more than one interchangeable group (e.g., 5156 can be interchangeable with 5142 or 5157) must have unique serial numbers within the same agency and unit so Payroll Operations can correctly apply payments to the established positions.

**SERIAL NUMBER**

**C306**

(Revised 03/05)

Three digits identify the position within each class in each reporting unit.

Serial numbers in the 700 and 800 series are reserved for employees in interchangeable classes (see Section C 306). Serial numbers in the 900 series are reserved for employees paid from blanket funds and for those in non-controlled agencies.

Agencies assign serial numbers to identify each separate position.

## TEMPORARY ENCUMBER/DISENCUMBER

C 307

(Revised 03/05)

A position may be temporarily encumbered/disencumbered during the current and one prior fiscal year by submitting one form STD. 607.

However, to temporarily encumber/disencumber a position for a period of time that overlaps fiscal years into the next (future) fiscal year special handling is required. Agencies must submit two forms STD. 607 to Payroll Operations, one for each fiscal year effected, each 607 to be submitted during the current fiscal year being effected. For example, if a permanent position is to be temporarily disencumbered to another position from April (current) through August (future) , submit a form STD. 607 to temporarily disencumber the position from April through June. At the beginning of July, submit another form STD. 607 to temporarily disencumber the position from July through August.

## CHANGE OF TIME BASE

C 308

(Revised 03/05)

To change the time base of an established position, show total time to be added/deleted; position numbers are not to be duplicated. DO NOT USE the same position number on both add and delete side of form STD. 607 as this will cause the transactions to reject and the document will be returned to the Agency.

EXAMPLE #1: Position is currently 001/002 time base. To increase the position to 003/004 time base, submit form STD. 607 to "add" 001/004 time base.

EXAMPLE #2: Position is currently 001/002 time base. To divide it between two other positions, delete the "from" position at 001/002 (total time - DO NOT show "from" position twice) and add 001/004 to each "to" position, as follows:

### Add

001-1000-001 001/004  
001-1000-002 001/004

### Delete

001-2000-001 001/002

## PERIODIC POSITION CONTROL REPORT MONTHLY

C 309

(Revised 03/05)

Periodic Position Control (PPC) Report lists each position in which personnel-months expended exceed personnel-months authorized by form STD. 607; i.e., payments were issued from unauthorized positions.

The report is prepared at the close of each business month for release after the first of each month. Copies are sent to DOF, Internal Management, as well as to each agency with an over-expended position.

Each agency must review the report and take necessary corrective action.

Please note that working the PPC will prevent positions from reflecting on the Vacant Position Report during the fiscal year end process. Return a copy of the report to Payroll

Operations, Position Control Unit, with marginal notes indicating action taken. Provide the form STD. 607 document number that pertains to the position. Attach a clear copy of the approved original form STD. 607 with original signature, Item 12.

Causes of overdraft include:

1. Lack of proper documentation: a) time paid exceeds time authorized for a position established by form STD. 607, or b) payments issued from a position not yet established.
2. Lump sum payments overlap regular payments from a new appointment.

Corrective action required:

1. For overdrafts resulting from a lack of proper documentation, submit form STD. 607 to a) add personnel-months, b) establish the position, or c) submit PAR/PPT to change the position number of the employee paid from the overexpended position.
2. For overdrafts resulting from lump sum payments (payment types 3, 4, and 5), submit PAR/PPT to transfer lump sum payments to Temporary Help Blankets.

## **COMPLETION OF FORM STD. 607 FOR ESTABLISHED POSITIONS**

**C 310**

(Revised 03/05)

Complete form STD. 607 (available on DGS web site or from DGS Stores) as follows:  
IMPORTANT NOTE: If a listing is being prepared, please follow guidelines outlined in PPM C 316.

### Item

1. Route To - leave blank. (If submitting a package, number the sequence order of processing in this area; e.g., 1 of 2, 2 of 2).
2. Type of Transaction - check the type of transaction that applies.
- 3(a) Fiscal Year - must be completed and year must coincide with transaction effective date.
- 3(b) Document Number - must be completed.
- 10 Description of Duties, Explanation of Necessity, Reason for Abolishment, etc. - enter any necessary justification or explanatory information.
- 11 Funding Information - Encumbrance Increases/Encumbrance Decreases  
  
Need not be completed if the transaction has no budgetary impact.  
The accounting officer must certify budgetary information.
- 12 Certification for the Appointing Power - must be signed by the appointing power or authorized representative.
- 13 Approved: - cite authority for exemption from DOF review or send to DOF.

Item

- 4(a) Effective Date - must be entered. This date is an A.M. or B.O.B. date (must be consecutive with item 7a or explained in Item 10 if applicable). Multiple effective dates CANNOT be shown.

NOTE: The first of the pay period is not necessarily the first of the month.  
See STD 640 State Pay Period Calendar. Click on link for calendar access: (<http://www.documents.dgs.ca.gov/osp/pdf/std640.pdf>)

- 4(b) Expiration Date - must be entered. This date is a P.M. or C.O.B. date (must be the same as 7b or explained in Item 10 if applicable). Multiple expiration dates CANNOT be shown.

For permanent establishment of position, show "PERM." To re-encumber a temporarily disencumbered position, enter the date to which the position was disencumbered.

EXAMPLE: Position 000-001-1000-001 disencumbered from 6/30/03 to 6/30/04. To re-encumber it effective 8/1/03, complete a FORM STD. 607 to add it back 8/1/03 through 6/30/04, the date the position was originally disencumbered, even if the position is permanent. Only add back what time was disencumbered.

- 5(a) Department and Organizational Unit - (Code No.) - enter name and payroll agency code of the department. Only one payroll agency code allowed in this item, cannot be various.

- 5(b) Reporting Unit - (Code No.) - enter name and code of attendance reporting unit, If various see PPM C 315.

- 5(c) Class Title - (Code No.) - enter title and class code (if interchangeable, show only the primary class code identified by DOF), if various see PPM C 315

- 5(d) Number of Positions - enter the number, not the total value, of positions being established or extended.

EXAMPLE: ADDITION TO ROSTER  
000-001-1000-001 Full  
000-002-1000-001 1/2  
Item 5(d) should be "2" not "1.5"

- 5(e) Position Serial Number(s) - (Code No.) - enter the serial number identifying the individual position within the class, if various see PPM C 315.

Use serial number 001-699 if non-interchangeable class, 700-899 if interchangeable, except as noted in PPM C 305. Do not submit 607's for serial 900-999.

- 5(f) Type of Position - (Code No.) - indicate by code whether position is:  
Civil service (1)

Exempt (4)  
Statutory (7).

- 6(a) Time Basis - indicate by check mark, if position is full-time; by fraction, if position is part-time; or various, if multiple positions are listed with both full-time and fractional positions.

To establish part-time position, enter the FRACTION, NOT THE DECIMAL EQUIVALENT. Show the lowest common denominator or the denominator on the position roster.

If multiple positions are listed on attachment, show the fraction applicable to right of each position serial number.

Explain time base increases in Item 10.

- 6(b) Salary Rate - enter the proposed rate and check whether monthly, daily, or hourly. If rate is above the minimum, explain in Item 10.
- 6(d) Position Justification – form STD. 613 - check the status of form STD. 613. For new positions and reclassifications, enter document number.

## **ABOLISHMENTS**

**C 312**

(Revised 03/05)

- 7(a) Effective Date - Must be entered. This date is a P.M. or C.O.B. date (must be consecutive with 4a or explained in Item 10). Multiple effective dates CANNOT be shown. (Be sure the employee has separated or been transferred [PAR/PPT] before the position is abolished or disencumbered.)
- 7(b) Disencumber To - must be entered. This date is a P.M. or C.O.B. date (must be the same as 4b or explained in Item 10). Multiple or prior fiscal year expiration dates CANNOT be shown.

For abolishment of permanent position, show "PERM.

EXAMPLE: Position 000-001-1000-001 established with an effective date 7/1/04 and expiration date PERM. To abolish it effective 9/2/04, complete a form STD. 607 to abolish it with effective date 9/1/04 and expiration date of PERM.

For abolishment of temporary position, enter the original expiration date of the position (see PPM C307), or if effective dates are not consecutive please explain in Item 10. To temporarily disencumber a permanent position, the date must be within the current or prior fiscal year.

EXAMPLE: Position 000-001-1000-001 established with an effective date 7/1/04 and expiration date 6/30/05. To abolish it effective 9/2/04, complete a form STD. 607 to abolish it with effective date 9/1/04 and expiration date 6/30/05, the original expiration date of the position.

- 8(a) Department and Organizational Unit - (Code No.) - enter name and payroll agency code of the department. Only one payroll agency code is allowed in this item, cannot be various.
- 8(b) Reporting Unit - (Code No.) - enter name and code of attendance reporting unit,

if various see PPM C 315.

8(c) Class Title - (Code No.) - enter title and class code. If interchangeable, show only the Primary class code established on position roster, if various see PPM C 315.

8(d) Number of Positions - enter the number, **not the total value**, of positions being abolished or temporarily disencumbered.

EXAMPLE: DELETION FROM ROSTER  
000-001-1000-001 Full  
000-002-1000-001 1/2  
Item 8(d) should be "2" not "1.5"

8(e) Position Serial Number(s) - (Code No.) - enter the serial number identifying the individual position within the class, if various, see PPM C 315.

8(f) Type of Position - (Code No.) - indicate by code whether position is:  
Civil service (1)  
Exempt (4)  
Statutory (7)

9(a) Time Base - indicate by check mark, if position is full-time; by fraction, if position is part-time; should be the same as 6a or explained in Item 10. Indicate various, if multiple positions are listed with both full-time and fractional positions.

To abolish or disencumber part of a position, enter the fraction NOT the decimal equivalent. Show lowest common denominator or the denominator on the position roster.

NOTE: 6A and 9A should be the same fraction except if you are moving two or three positions into one position and vice versa.

If multiple positions are listed on attachment, must show the fraction applicable to the right of each position serial number.

Explain decreases in time base in Item 10.

9(b) Salary Rate - enter the rate and check whether monthly, daily, or hourly. If rate is above the minimum, explain in Item 10.

9(d) Present Status - check present status of position and enter form and document number, if required.

**CORRECTING DOCUMENTS**  
(Revised 03/05)

**C 313**

Complete form STD. 607 as outlined in PPM C 310-312 with the following cautions:

1. Type or write "CORRECTED COPY" at the top of the document.
2. Complete exactly as original should have been submitted using the same document number followed by an alpha character (e.g., if original document number is 100, first correcting document is 100-A, second correcting document is 100-B).

3. Note in Item 10 the items being corrected and how they are shown on the original document. (e.g. to change 5e to 002 was 001).
4. To cancel, complete exactly as original document and indicate in Item 10 "This is to cancel the original document."

**Note: Correcting documents should be:**

- Submitted only when original STD. 607 is the last document processed. Submit copies of corresponding STD. 607s if processed after the original request.
- Current and one prior fiscal year correcting documents only.
- Only two correcting documents per original form STD. 607. Additional corrections require a new form STD. 607.
- Changes to the effective/term date with an attachment list are not considered a correcting document.
- Partial correction of a form STD. 607 with attachment list, to the effective date/term date is not considered a correcting document. A correcting document to delete from the original followed by a new form STD. 607 with the correct information or a new form STD. 607 is required to update the Position Roster file.

**INQUIRING DOCUMENTS**

**C 314**

(NEW 03/05)

Copy form STD. 607, type or write Inquiry across the top of the document as well as in Remarks. Also state in remarks the date the original was submitted. Documents cannot be processed without original signatures and approvals therefore get the copies signed again prior to sending. Allow sufficient processing time for the original documents before sending an inquiry.

**PREPARATION OF ATTACHMENT 607 LIST**

**C 315**

(Revised 03/05)

If more than one position is being established and/or abolished with the same effective term date, an Attachment STD. 607 listing must be done. The listing must be submitted with a cover form STD. 607 (see PPM C 310).

**It must have an authorized signature and cannot exceed 50 positions.**

Positions cannot be duplicated on add/delete sides

Attachment 607 list must be uniform with the cover form STD. 607; additions to the roster on the left side, deletions to the roster on the right side. Use Arial or Times New Roman with a 12 or larger font size.

All positions must be completed in column form:

001 1139 003

001 1139 004 not 001 1139 003/004

NOTE: The listing should only show the primary class code for positions with an interchangeable serial number. Do not show the entire interchangeable class code grouping.

## **ON-DEMAND POSITION ROSTER LISTING**

**C 316**

(Revised 03/02)

When a department is planning to:

1. Reorganize during the fiscal year
2. Re-class by pay authority
3. Reconcile Payroll Operations position file with the agency's files

And

the department wishes to receive a listing (either printed or on magnetic tape) of established positions in the Roster File for use as a turnaround document or aid in preparing form STD. 607, a request must be submitted to the Payroll Operations (see PPM Section Z, Attachment C-1).

The listings are available on a one-time, monthly, or quarterly basis according to the request.

The service charge for providing these listings and tapes is \$60.00. This amount is subject to change since service charges are based on the cost of computer and staff time needed to produce this material.

The following formats are available:

1. Fiscal year, position number and type, time base fraction, and expiration date (if temporary position): Format 3 (See PPM Section Z, Attachment C-2).
2. Personnel-months authorized, in addition to the above information: Format 4 (See PPM Section Z, Attachment C-3).
3. Reclassification format, for use as a turnaround document listing: Positions being reclassified (or reorganized in mid-fiscal-year) are on the right-hand side of the listing, and blank position number fields are on the left-hand side. Complete the blank fields with the new, reclassified position and submit with a cover form STD. 607.
4. Magnetic Tape.

In April each year, PPSD will release a questionnaire to all departments as to whether the department is planning a reorganization effective July 1 of the next fiscal year. If the response of the department is positive, a position roster listing will be AUTOMATICALLY prepared and released in May. No request for such a listing needs to be made and no service charge will be assessed.

## **REQUEST FORM FOR POSITION ROSTER LISTING/MAGNETIC TAPE**

**C 317**

(Revised 03/02)

The Request for Position Roster Listing (see PPM Section Z, AttachmentC-1) should be

completed as follows:

Date: Date the request is submitted

From: Name and address of office making request.

Selection Criteria:

1. Type of Request

Enter a check mark or "X" in the appropriate box. May request a listing/tape on a one-time, monthly, or quarterly basis.

2. Agency Codes

List all agency codes to be included on the listing/tape.

3. Class Codes

Complete only if specific class codes are required on the listing.

4. Type of Output

Enter a check mark or "X" in the appropriate box. May select a printed listing or, if agency has its own data processing facility, may choose to receive the roster on magnetic tape.

5. Printed Listing Information. Complete only if requesting printed listing.

a) Page Break

Enter check mark or "X" in appropriate box. May start a new print page with each agency code change when multiple agency codes requested (Option A), or may start a new page each time the reporting unit or budget function changes (Option B). Positions will be in agency code, reporting unit/budget function, class code, serial number order.

b) Format

Enter check mark or "X" in appropriate box.

Format 3 gives fiscal year, position number and type, time base fraction, and expiration date (if temporary position). This is on 8-1/2 x 11 paper.

Format 4 gives personnel-months authorized, in addition to the information on Format 3. This is on 11 x 14 paper.

Format 5 is double-sided. One side gives the same information as Format 3 for agencies and/or class codes requested. The other side has blanket position number fields, to be completed per the reclass or mid-year reorganization being done. The completed listing may be submitted with a covering form STD. 607 to be processed as any other form STD. 607 reclass listing. This is on 8-1/2 x 11 paper.

c) Number of copies

Enter number of copies desired.

6. Tape Information. Complete only if requesting magnetic tape.

a) Type of Tape

Enter check mark or "X" in appropriate box.

b) Block size

Enter number of bytes per block.

c) Tape provided

Agencies do NOT need to send a blank tape to SCO for use in producing a roster tape. SCO will provide the tape which is to be returned within 40 days.

7. Method of Delivery

a) Messenger Pick-up

Enter check mark or "X" in this box if using messenger to pick up tape or listing at the address given. Please give name and telephone number of person to notify when the tape/listing is ready.

b) Mail

Enter check mark or "X" in this box if desiring to have the tape/listing mailed. Enter mailing address.

c) Call Volume/Serial Number

SCO, Data Guidance will give this information to agencies that use Teale Data Center facilities. Agencies can then call Teale for transmission of data directly to the agency data processing shop. Tapes will thus not change hands.

Billing - Enter name, department, and address of person receiving the bill for this service.

Contact - Enter name and telephone number of person to contact.

Requested By - Person requesting the tape or listing must sign and date the request.

**INTERCHANGEABLE CLASSES**  
**(Revised 08/07)**

**C 318**

<u>Class Codes</u>	<u>Sequence Code</u>	<u>Class Titles</u>
<u>0155-0554*</u>		Milk Prod. Cost Analyst II - Milk Prod. Cost Analyst I
<u>0193-0196*</u>		Assoc. Agric. Economist - Asst. Agric. Economist
<u>1038*-1039</u>		Dep Chief – Asst Chief (Supvry)

<u>Class Codes</u>	<u>Sequence Code</u>	<u>Class Titles</u>
<u>1123</u> *-1441*	14	Asst. Clerk - Office Asst. (Gen)
<u>1148</u> -1379*-1139		Office Services Supvr. I (Typing) - Office Asst. (Typing) - Office Tech. (Typing)
<u>1382</u> – 1383	12	Programer I & II
<u>1418</u> -1421*		Data Entry Operator - Data Entry Operator Trainer (NOTE: CSU only)
<u>1470</u> *-1479		Associate Info System Analyst (Spec) - Assist. Information System Analyst
<u>1485</u> *-1487	19	Printing Trades Spec. Trainee (Gen) - Printing Trades Spec. I (Gen)
<u>1487</u> -1485*-1488 - 1489	19	Printing Trades Spec. I (Gen) - Printing Trades Spec. Trainee (Gen) - Printing Trades Spec. I (Photocopy) - Printing Trades Spec. I (Finishing)
<u>1707</u> -1709*		Toll Collector - Service Asst. (Toll Collection)
<u>1730</u> -1441*-1733 - 1123	14	Sr. Account Clerk - Office Asst. (Gen) - Account Clerk II - Asst. Clerk
<u>1733</u> -1441*	14	Account Clerk II - Office Asst. (Gen)
<u>1920</u> *-1921		Racing License Tech. I - Racing License Tech. II
<u>1963</u> *-1964		Financial Aid Analyst - Assoc. Financial Aid Analyst
<u>1973</u> *-1974		Tax Techn I – Tax Techn II
<u>2116</u> -2122*	03	Laundry Worker - Launderer Asst.
<u>2117</u> -2122*	03	Laundry Worker – Launderer Asst.
<u>2119</u> -2122*	03	Launderer - Launderer Asst.
<u>2162</u> *-2163		Nutrition consultant II – Nutrition consultant I
<u>2290</u> *-2287		Teacher (High School General Education) - Teacher (Elementary Multiple Subject)
<u>3126</u> -3132*	16	Asst. Civil Engr. - Jr. Civil Engr.
<u>3529</u> *-3528		Hazardous Materials Spec. - Assoc. Hazardous Materials Spec.
<u>3756</u> *-3754		Engrng. Geologist-Assoc. Engrng. Geologist

<u>Class Codes</u>	<u>Sequence Code</u>	<u>Class Titles</u>
<u>3779*</u> - 3781		Asst Health Physicist – Jr. Health Physicist
<u>3786*</u> -3787		Waste Mgt. Engr. - Assoc. Waste Mgt. Engr.
<u>3799</u> – 3788		Oil & Gas Tech I, II, III
<u>3825*</u> - 3848		Assoc. Sanitary Engr – Sanitary Engr
<u>3846*</u> -3845		Water Resources Control Engr. - Assoc. Water Resources Control Engr.
<u>3856</u> -3855*-3824		Assoc. Industrial Hygienist - Asst. Industrial Hygienist - Jr. Industrial Hygienist
<u>3872*</u> -3873		Air Resources Tech. I - Air Resources Tech. II
<u>4051</u> -4052-5797* - 5798	09	Asst. General Counsel I - Asst. General Counsel II - Graduate Legal Asst. - Legal Counsel
<u>4146</u> -4175*	05	Govtl. Auditor II - Auditor I
<u>4159</u> – 5841*	05	Assoc Mgmt Auditor – Staff Services Mgt Auditor
<u>4179*</u> -4546, 4560	20	Accountant Trainee - Accounting Officer, Acct. Officer – Supr.
<u>4244*</u> -2710		School Facilities Prog. Analyst II - School Facilities Prog. Analyst I
<u>4254*</u> -4175	05	Health Prog. Auditor II - Auditor I
<u>4287</u> -4175	05	Gen Auditor II - Auditor I
<u>4340*</u> -4175	05	Tax Auditor II (EDD) - Auditor I
<u>4361*</u> -4362	05	Assoc. Tax Auditor - Tax Auditor
<u>4658</u> -4685-5156	06	Assoc. Risk Analyst, Asst. Risk Analyst - Jr. Staff Analyst
<u>4689</u> – 4690		Recycling Specialist I, II
<u>4672*</u> -4663	22	Health Analyst - Assoc. Health Planning Analyst
<u>5142</u> -5156*-5157	06	Assoc. Personnel Analyst - Jr. Staff Analyst (Gen) - Staff Services Analyst (Gen)
<u>5157*</u> -5156	06	Staff Services Analyst (Gen) - Jr. Staff Analyst (Gen)
<u>5161</u> -5160*		Personnel Tech. II Spec. - Personnel Tech. I

<u>Class Codes</u>	<u>Sequence Code</u>	<u>Class Titles</u>
<u>5171</u> *-5170		Telecomm. Systems Analyst II - Telecomm. System Analyst I
<u>5237</u> * - 1820		Legal analyst – Legal Asst
<u>5266</u> - 5267*		Staff Finance Budget Analyst – Assoc Finance budget Analyst
<u>5266</u> * - 5267-5268		Staff Finance Budget Analyst – Assoc Finance Budget Analyst
<u>5270</u> *-5271-5273		Prin Prog Budget Analyst 1 – Prin Prog Budget Analyst II – Prin Prog Budget Analyst III
<u>5278</u> -5256*		Mgt. Services Tech. - Mgt. Services Asst.
<u>5284</u> -5157*	06	Assoc. Budget Analyst - Staff Services Analyst (Gen)
<u>5306</u> -5156*	06	Asst. Adm. Analyst - Jr. Staff Analyst (Gen)
<u>5393</u> -5156*-5157	06	Assoc. Govtl. Program Analyst - Jr. Staff Analyst (Gen) - Staff Services Analyst (Gen)
<u>5426</u> – 5432*		Financial and Performance Evaluator II – Financial and Performance Evaluator I
<u>5731</u> * - 5729		Research Analyst II (Gen) – Research Analyst I (Gen)
<u>5732</u> * - 5859		Research Analyst II (Soc/Behavioral) – Research Analyst I (Soc/Behavioral)
<u>5753</u> *-5751-5752 5798-5797 - 5754	09	Deputy Legis. Counsel I - Deputy Legis. Counsel III - Deputy Legis. Counsel II - Legal Counsel - Graduate Legal Asst.
<u>5841</u> -4159		Staff Services Mgt. Auditor - Assoc. Mgt. Auditor
<u>5996</u> -5797*	09	Research Atty. - Graduate Legal Asst. (NOTE: Judicial Council only)
<u>6220</u> -1510*	09	Warehouse Worker - Service Asst. (Warehouse & Stores)
<u>6272</u> *-6273		Board Counsel I - Board Counsel II, ALRB
<u>6898</u> *-6917		Auto Pool Attendant I - Service Asst. Auto
<u>6992</u> - 6991		Siesmological, Instrument Tech
<u>7954</u> * - 7956		Microbiologist *I – Microbiologist Intern
<u>8009</u> * - 8013		Enfirntl Health Spec II – Envirntl Health Spec I

<u>Class Codes</u>	<u>Sequence Code</u>	<u>Class Titles</u>
<u>8062</u> -8019*		Public Health Chemist I - Jr. Chemist
<u>8094</u> * - 8170		(Safety) – Pre-registered Nurse
<u>8144</u> -8143*		Nurse Evaluator II, Health Services - Nurse Evaluator I, Health Services
<u>8213</u> *-8210		Public Health Nurse I - Public Health Nurse II
<u>8232</u> -8235* -8233		Psychiatric Tech. - Psychiatric Tech. Trainee - Pre-License Psychiatric Tech.
<u>8253</u> *-8252-8254		Sr. Psychiatric Tech – Psychiatric Tech – Pre-licensed Psychiatric Tech
<u>8337</u> *-4672	22	Assoc. Health Prog. Adviser - Health Analyst
<u>8345</u> -8346*		Public Health Asst. II - Public Health Asst. I
<u>8392</u> -5365*		Disability Eval Analyst II - Disability Eval Analyst
<u>8451</u> *-8450		Genetic Disease Prog Spec II – Genetic Disease Spec I
<u>8553</u> -8554*	21	Special Investigator I - Investigator Asst.
<u>8778</u> *-8777		Deputy Commissioner I - Deputy Commissioner II
<u>8792</u> * - 8793		Deputy Registrar (Contractors II) – enforcement Rep I
<u>9039</u> – 1589		Sr. Food & Drug Investigator
<u>9231</u> *-9232		Employ Prog. Tech. – Employ Prog. Asst.
<u>9393</u> -9392*		Aging Prog. Analyst II - Aging Prog. Analyst I
<u>9414</u> -9417*		Social Services Consultant II - Social Services Consultant I
<u>9595</u> *-9594-9596		Assoc. Real Estate Off - Real Estate Off - Staff Real Estate Off
<u>9822</u> *-9810		Voc. Rehab. Trainee - Voc. Rehab. Counselor
<u>9847</u> -9850*		Staff Psychologist (Clinical) - Psychology Assoc.
<u>9939</u> -9940*		Social Services Asst. II, Mental Health - Social Services Asst. I, Mental Health

Underlined class codes are "primary" classes which are codes reflected in SCO files (see Section C 305).

\*Class codes identified with an asterisk (\*) are Schedule 8 classes; i.e., vacant positions appear on Schedule 8 with the indicated class codes, and with salary estimates based on the salary rates of that class.

Sequence Code used by SCO only, for identification of multiple interchangeable class codes.

## **SUBJECT: BLANKETS**

### **INTRODUCTION**

**C 400**

(Revised 03/05)

A "blanket" position is designated by a position serial number in the "900" series.

Any number of appointments may be made under a blanket position providing the total salary and wage expenditures for the position do not exceed the amount encumbered.

Blankets may be established within a payroll agency for temporary help, seasonal help, overtime, or other special purposes.

SCO no longer processes blanket transactions as of 7/1/93. Reports are generated to assist agencies/campuses in maintaining their blanket funds.

Form STD. 607 received with blanket encumbered/disencumbered on one side and established position adds/deletes on the other side are accepted. Only the established position side of the transaction is processed.

### **BLANKET EXPENDITURE REPORT**

**C 401**

(Revised 03/02)

SCO prepares a Blanket Expenditure Report monthly. This report will be prepared at the close of each business month for release after the first of the following month.

The first report for a fiscal year is dated August 1 and contains data from the July business month. The final report for a fiscal year is dated July 1 (of the following fiscal year) and contains data from the June business month of the closing fiscal year.

See PPM B 001 for an explanation of the following codes shown on the blanket report:

1. Payment Type
2. Payment Suffix
3. Clearance Type
4. Pay Period Type

Blanket Expenditures Report is to aid agencies/campuses in the managing of blanket payments.

The report lists every blanket payment issued in the month reported; i.e., issue date of the second of the previous month through the first of the current month, by fiscal year with the following exceptions:

1. Payments issued in non-control agencies
2. Disability payments (NDI and IDL)

### 3. Payments with zero gross (no expenditures)

Payments charged to prior fiscal years will appear on this report but will NOT be reflected in the annual blanket balance report as this balance is only for the current fiscal year.

There are two subtotals (payment type total and reporting unit total) in addition to agency/blanket total.

Lump sum payments of overtime, vacation, and sick leave for separations occurring prior to the close of a fiscal year are chargeable to the blanket for the closing fiscal year even though the payments extend into the new fiscal year.

## **BLANKET BALANCE REPORT**

**C 402**

(Revised 03/02)

Blanket Balance Report is generated only at the close of the fiscal year and reflects all blanket activity for the fiscal year. Copies of this report will be released to DOF, Internal Management, as well as to the agencies/campuses. It gives the status of each blanket as of the report date.

Use this last report for the fiscal year dated July 1 of the next fiscal year to aid in preparation of budget reports.

## **SUBJECT: ANNUAL REPORTS**

**C 500**

### **REFERENCE**

(Revised 03/95)

SAM 6115-6117, 6210

### **INTRODUCTION**

(Revised 03/95)

Following is the activity concerning the Fiscal Year End related to position control, salaries and wages, etc.

SCO will prepare annual reports as follows:

- Finance Conversion Code
- Schedule 8/Supplementary Schedule 8
- Schedule 7A/Supplementary Schedule 7A
- Abolished Vacant Position

## **FINANCE CONVERSION CODE**

**C 501**

(Revised 03/02)

Finance Conversion Code (FCC) consists of 13 digits (a four-digit department code and four subdepartment codes) assigned by the department after consultation with DOF.

Finance Conversion Codes are used to regulate the detail and arrangement of data on the Schedule 7A Galley Proof.

NOTE: CSU campuses will NOT receive this listing as CSU uses its own system to generate the Schedule 7A report.

Each May, SCO prepares two FCC Listings as completed for the prior year-one in agency/reporting unit order and one in finance conversion code order.

### Agency/Reporting Unit Listing

The listing in agency/reporting unit order is designed to aid departments in amending the finance conversion code order listing.

If "No FCC" appears next to an agency/reporting unit, a Finance Conversion Code must be assigned to that agency/reporting unit.

If "DUPLICATE" appears next to agency/reporting unit, that reporting unit appears twice on the listing and one of these entries must be lined off the Finance Conversion Code order listing.

If no amendments are necessary, do not return the listing to Payroll Operations; only return this listing if amended for "No FCC."

### Finance Conversion Code Listing

Departments are required to make amendments, if necessary, to the Finance Conversion Code order listing and return the original copy to Payroll Operations no later than the end of May with the name and telephone number of the contact person.

Amendments are required if:

1. Agency/reporting units were added, deleted, or changed per form PR 421, Change in Payroll Header, during the closing fiscal year with an effective date of July 1 of the new fiscal year.
2. A reorganization occurred during the closing fiscal year or a reorganization is to be effective July 1 of the new fiscal year.

Amend the listing as follows:

1. Draw a single line through the incorrect information (keeping it identifiable) and enter the correct information directly below.
2. Insert missing agency/reporting units and/or budgetary descriptions.
3. Line out the entire line entry if the agency/reporting unit is to be deleted.

**NOTE:** Do not delete a line entry if established position payments were issued from the agency/reporting unit in the closing fiscal year unless all payments that were issued have been transferred to other agency/units by PAR/PPT transactions.

4. Review budgetary descriptions and make necessary corrections. Budgetary descriptions for all subdepartment levels are limited to 35 characters; department names can have up to 60 characters.

5. A budgetary description is required for each Finance Conversion Code when the code changes from the previous line entry.
6. For new departments established during the closing fiscal year, type a conversion code listing using the same format as the listing.
7. New agency/reporting units cannot use existing Finance Conversion Codes. New conversion codes can be assigned by the agency after consultation with DOF.
8. Do not add agency/reporting units from which only blanket fund payments have been issued. However, blanket fund budgetary descriptions may be added without showing reporting units.

A revised Finance Conversion Code listing reflecting changes made per department's amendments will be released in July.

### **BLANKET BALANCE REPORT**

**C 502**

(Revised 03/02)

July 1 of every year, a listing of all blanket activity for the prior fiscal year is produced. Copies of this report are sent to DOF, Internal Management, Agencies/Campuses, and SCO retains one copy. This report is used to aid in the preparation of budget reports.

### **SCHEDULE 8**

**C 503**

(Revised 03/02)

The Schedule 8 Report lists all authorized established positions (filled and unfilled) as of July 1, except those with abolished agency or class codes. Also listed are prior year expenditures by class.

Filled positions contain employee's name and salary information such as salary rate and anniversary date from Employment History. Estimated expenditures for the current and budget year are projected by the employee's salary information for each position.

Vacant positions contain salary information from the pay scale. Estimated expenditures for the current and budget year are projected by the estimated salary information for each position.

If a position has been temporarily disencumbered through the end of the closing fiscal year at the time the Schedule 8 Report is prepared, the temporary position will appear on the Schedule 8 Report as "TERMIN." The termination date will be indicated, expenditures will be shown, but no projections will be made. The position which was temporarily disencumbered will also appear and will reflect projections as well as any expenditures made during the closing fiscal year.

For budget function agencies, the report will be in Budget Function Code order, rather than Reporting Unit Code sequence.

The report will be prepared during July and will reflect reorganizations and Merit Salary Adjustments (MSA) effective July 1.

The report may be delayed due to an unresolved General Salary Increase (GSI). PPSD coordinates with DOF if this occurs. DOF decides when to prepare the Schedule 8/Supplementary Schedule 8 in these instances as well as whether or not to reflect the GSI on the reports.

See PPM Section Z, Attachment C-4 for Special Pay codes used on the Schedule 8/Report. See PPM B 008 for Shift Differential codes and B 036 for Earnings Identifiers used on the Schedule 8 Report.

The Schedule 8 Report is available on magnetic tape, in addition to the printed report received by all departments. There is a service charge for such tapes. Departments may request Schedule 8 tapes by contacting PPSD, Position Control Unit Supervisor. PPSD will supply record layouts and file descriptions in advance of Schedule 8 production.

## **SUPPLEMENTARY SCHEDULE 8 REPORT** (Revised 03/02)

**C 504**

The Supplementary Schedule 8 Report lists all employees in:

- Unauthorized positions
- Abolished or nonexistent class codes
- Abolished agency codes
- Positions terminated on June 30 of the closing fiscal year
- Positions filled by more than one employee. In this case, one employee will be listed on the Schedule 8 Report and all others will be listed on this report.

Employees and positions listed on this report will not appear on the Schedule 7A Galley Proof, Supplementary Schedule 7A, or Summarization Report by Class/RU(BF).

For budget function agencies, the report will be in Budget Function Code order, rather than Reporting Unit Code sequence.

The report will be prepared during July and will reflect reorganizations and MSA effective July 1.

The report may be delayed due to an unresolved GSI. PPSD coordinates with DOF if this occurs. DOF decides when to prepare the Schedule 8/Supplementary Schedule 8 in these instances as well as whether or not to reflect the GSI.

See PPM Section Z, Attachment C-4 for codes used on the Supplementary Schedule 8 Report.

## **SCHEDULE 7A REPORT** (Revised 03/95)

**C 505**

Schedule 7A, a magnetic tape, is a summarized by-product of the Schedule 8 Report and is the source of the preliminary salary and wage supplement to the Governor's printed budget. No information contained in the Supplementary Schedule 8 will be included. CSU campuses are not included in the SCO report since CSU prepares their own Schedule 7A.

Tape information is summarized by reporting unit (not budget function code) and is arranged in Finance Conversion Code order.

Schedule 7A magnetic tape will be prepared at the same time as the Schedule 8 Report and released to DOF for preparation of Schedule 7A Galley Proof.

**SUPPLEMENTARY SCHEDULE 7 A**

**C 506**

(Revised 03/02)

The Supplementary Schedule 7A Report lists positions in reporting units not identified on the finance conversion code listing. The report is printed in Reporting Unit Code sequence.

The Supplementary Schedule 7A (printed report) is prepared at the same time as the Schedule 8 Report and is sent to agencies. CSU campuses are not included in this report.

Positions listed on this report will not appear on the Schedule 7A Galley Proof (magnetic tape). The Galley Proof must be adjusted manually by an agency to include these positions.

**PROBABLE VACANT POSITIONS PER GOVERNMENT CODE 12349**

**C 507**

(New 03/05)

The Probable Vacant Position Listing is created based on the current Established Position Roster File and identifies established position(s) that were vacant continuously for six consecutive monthly pay periods. The six consecutive monthly pay periods may occur entirely within a fiscal year or between two consecutive fiscal years. The listing reflects the following information:

Current Position – identifies the position that will be abolished if no expenditures are made for six consecutive monthly pay periods during the fiscal year.

Authorized – identifies the authorized man months for the current position.

Expenditures – identifies the amount of man month expenditures issued from the current position.

Previous Position – identifies any previous reclassified positions (up to five occurrences will be printed) followed by their respective authorized man months and expenditures. If the number of reclassified positions exceeds five, a message will be issued indicating additional activity.

Also included is the sequence code, effective date, document number, position type and (batch number for SCO use only).

A final Abolished Vacant Position Report will be generated on June 30 and subsequently released to Departments (see PPM C508).

**ABOLISHED VACANT POSTION REPORT**

**C 508**

(Revised 03/05)

The Abolished Vacant Position Report lists civil service established positions which were

found to be continuously vacant for six consecutive monthly pay periods during the current fiscal year, or may span between two consecutive fiscal years. They are abolished effective July 1. When you receive report in early July, you have until August 15th to notify the Position Control Unit of any discrepancies (technical errors) found. After August 15<sup>th</sup> all requests for reestablishment of a position will require submission of an original Form STD 607 and appropriate backup for justification to your Department of Finance budget analyst.

**IMPORTANT:** Any payments for the NEW FISCAL YEAR from any abolished position will be shown on the Periodic Position Control Report as an over expended position. See PPM C309

Positions listed on this report will NOT be included in Schedules 8 and 7A.

Abolished Vacant Position Report will be prepared and released to civil service agencies and DOF at the same time as the Schedule 8 Report, unless the Schedule 8 Report is delayed due to GSI.

Form STD. 607 must be submitted to SCO by August 15<sup>th</sup>, for positions which meet the self-certification criteria per G. C. 12439 (See PPM C 601). Otherwise Form STD. 607 must be submitted to DOF with appropriate backup justification for reestablishment of these positions.

Abolished Vacant Position Report will be updated by forms form STD. 607 to reestablish the positions; i.e., Payroll Operations will manually delete the positions from the report.

A current copy of the report (updated by form STD. 607) will be submitted to the Legislature in October.

## **SUBJECT: REFERENCES**

### **INTRODUCTION** **C 600** (NEW 03/05)

Included below are the references by which the Position Control and Header processes as well as the Fiscal Year End process is implemented. Please click on a link below for the desired information.

### **GOVERNMENT CODE 12439** **C 601** (NEW 03/05)

<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&group=12001-1300&file=12410-12439>

### **SAM SECTION 6527 - BUDGETARY APPROVAL OF POSITION** **C 602** (NEW 03/05)

<http://sam.dgs.ca.gov/toc/6000/6527.htm>

### **SAM SECTION 8531 - ESTABLISHED POSITIONS** **C 603** (NEW 03/05)

<http://sam.dgs.ca.gov/toc/8500/8531.htm>

**SAM SECTION 8533 - POSITION NUMBERS**  
(NEW 03/05)

**C 604**

<http://sam.dgs.ca.gov/toc/8500/8533.htm>